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53 STATE STREET

BOSTON, MASSACHUSETTS 02109-2804

TELEPHONE (617) 248-5000 • FAX (617) 248-4000

WWW.CHOATE.COM

MAIL STOP PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Express Mail No.:** EV 31414043 US  
**Attorney's Docket No.:** 2002834-0235  
**Date Filed:** February 10, 2004

**UTILITY PATENT APPLICATION TRANSMITTAL**

(FOR NEW NONPROVISIONAL APPLICATIONS UNDER 37 C.F.R. § 1.53(B))

Dear Sir:

Please find enclosed a patent application and papers as follows for:

Inventor(s):

Given Name (first and middle)	Family Name or Surname	Residence (City and State or Foreign Country)
H. Kim	Bottomly	New Haven, CT
Howard B.	Sosin	Fairfield, CT
Michael J.	Caplan	Woodbridge, CT

Title of the Invention: **SYSTEM FOR CONTROLLING IMMUNE SYSTEM RESPONSE TO ANTIGEN**

A) APPLICATION ELEMENTS:

- 1) ☒ **Fee Transmittal Form** (original and duplicate submitted for fee processing)
- 2) ☒ **Applicant Claims Small Entity Status** (see 37 CFR § 1.27)
  - a) ☐ Statement Verifying Small Entity Status (optional)

3) ☒ **Specification**TOTAL PAGES: 97(Title page; 47 pages specification; 48 pages claims; 1 page abstract)

- ☒ Descriptive Title of the Invention
- ☐ Cross References to Related Applications (if applicable)
- ☐ Statement Regarding Federally Sponsored R & D (if applicable)
- ☐ Reference to sequence listing, a table, or a computer program listing appendix
- ☒ Background of the Invention
- ☒ Summary of the Invention
- ☒ Definitions
- ☐ Description of the Drawings (if filed)
- ☒ Detailed Description of the Invention
- ☒ Claims
- ☒ Abstract of the Invention

4) ☐ **Drawing(s)** (35 U.S.C. § 113)TOTAL SHEETS: 05 ☒ **Oath or Declaration**TOTAL PAGES: 9

- a) ☐ Newly Executed (original or copy)
- b) ☒ Copy from a prior application (37 C.F.R. § 1.63(d))-for continuation/divisional application
  - i) ☐ DELETION OF INVENTOR(S): Signed Statement deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
- c) ☐ Unexecuted

6) ☐ **Application Data Sheet**. See 37 CFR 1.76.7) ☐ **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**8) ☐ **Nucleotide and/or Amino Acid Sequence Submission** (if applicable, all are necessary)

- a) ☐ Computer Readable Form (CRF)
- b) ☐ Specification Sequence Listing on:
  - i) ☐ CD-ROM or CR-R (2 copies); or
  - ii) ☐ Paper
- c) ☐ Statements verifying identity of above copies

**B) ACCOMPANYING APPLICATION PARTS:**

- 9) ☒ **Assignment Papers (Copy from parent application)**
- 10) ☒ **Establishing Right of Assignee to Take Action (Copy from parent application)**
- 11) ☒ **Power of Attorney (Copy from parent application)**
- 12) ☐ **English Translation Document (if applicable)**
- 13) ☐ **Information Disclosure Statement (IDS)/PTO-1449**
- 14) ☐ **Copies of IDS Citations**
- 15) ☒ **Preliminary Amendment**
- 16) ☒ **Return Receipt Postcard (MPEP 503) (specifically itemized)**
- 17) ☐ **Certified Copy of Priority Document(s) (if foreign priority is claimed)**
- 18) ☐ **OTHER: (if applicable, specified below)**

**C) FOR CONTINUING APPLICATIONS: (the appropriate box is checked, and certain information is provided below and in a preliminary amendment)**

☒ CONTINUATION                      ☐ DIVISIONAL                      ☐ CONTINUATION-IN-PART (CIP)

OF PRIOR APPLICATION NO: 09/290,029

FILED: APRIL 9, 1999

EXAMINER: Huynh, Phuong N.

GROUP/ART UNIT: 1644

**FOR CONTINUATION OR DIVISIONAL APPLICATIONS ONLY:** The entire disclosure of the prior application, from which an oath or declaration is supplied as detailed above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

**D) METHOD OF PAYMENT OF FILING FEES FOR THIS APPLICATION:**

Express Mail No.: EV 314104043 US

Date Filed: February 10, 2004

- ☒ Applicant claims small entity status 37 CFR § 1.27
- ☒ A check is enclosed to cover the filing fees as determined on the fee transmittal enclosed herewith
- ☒ The commissioner is hereby authorized to charge any additional filing fees or credit any overpayment to deposit account number 03-1721.

Total filing fee amount \$709.00

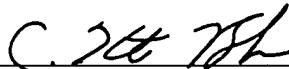
E) CORRESPONDENCE ADDRESS:

☒ Customer Number **24280**

☒ Correspondence Address:

C. Hunter Baker, M.D., Ph.D.  
 Choate, Hall & Stewart  
 53 State Street  
 Exchange Place  
 Boston, MA 02109  
 phone: (617) 248-5000  
 fax: (617) 248-4000

Respectfully Submitted,

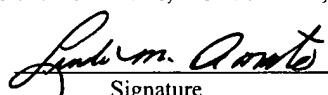
  
 C. Hunter Baker, M.D., Ph.D.  
 Reg. No.: 46,533

CHOATE, HALL & STEWART  
 53 State Street  
 Exchange Place  
 Boston, MA 02109  
 Phone: (617) 248-5000  
 Fax: (617) 248-4000

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Express Mail No.: EV 314104043 US  
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Certificate of Mailing	
I certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450	
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Date	Signature
Linda M. Amato	
Typed or Printed Name of person signing certificate	

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**FEE TRANSMITTAL**  
**for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 709.00

**Complete if Known**

Application Number	Not yet assigned
Filing Date	February 10, 2004
First Named Inventor	H. Kim Bottomly
Examiner Name	Not yet assigned
Art Unit	Not yet assigned
Attorney Docket No.	2002834-0235

**METHOD OF PAYMENT (check all that apply)**☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name

03-1721

Choate, Hall and Stewart

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	385.
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>(\$ ) 385.</b>

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims		Extra Claims		Fee from below		Fee Paid	
	56	-20** =	36	X	9	=	324.
Independent Claims	3	-3** =	0	X		=	
Multiple Dependent				X		=	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>				

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity | Small Entity

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ )**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	C. Hunter Baker	Registration No. (Attorney/Agent)	46,533	Telephone	617-248-5215
Signature	<i>C. Hunter Baker</i>	Date	February 10, 2004		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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